

16711  
U.S.PTO

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |   |                      |
|------------------------|---|----------------------|
| Attorney Docket No.    |   | 3918P017X2D3C        |
| First Inventor         |   | Liew C. Chiu, et al. |
| Title                  | FIBER OPTIC MODULES WITH A LEVER-ACTUATOR DE-LATCHING MECHANISM |                      |
| Express Mail Label No. |   | EV387144074US        |

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3.  Specification *[Total Pages 70 ]*  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table, or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure

4.  Drawing(s) (35 U.S.C. 113) *[Total Sheets 50 ]*

5. Oath or Declaration (signed) *[Total Pages 4 ]*  
a.  Newly executed (original or copy)  
b.  Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 18 completed)  
i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6.  Application Data Sheet. See 37 CFR 1.76

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a.  Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i.  CD-ROM or CD-R (2 copies); or  
ii.  paper  
c.  Statements verifying identity of above copies

9.  Assignment Papers (cover sheet & document(s))

10.  37 C.F.R. § 3.73(b) Statement  Power of Attorney  
(when there is an assignee)

11.  English Translation Document (if applicable)

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

13.  Preliminary Amendment  Application Amended to Reflect Claim of Priority

14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i).  
Applicant must attach form PTO/SB/35 or its equivalent.

17.  Other: Transmittal of Amended Specification for Scanning Purposes  
Notification of Error in Inventor Name

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation  Divisional  Continuation-in-part (CIP)

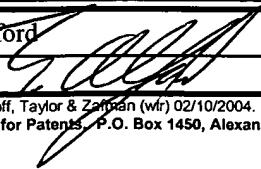
of prior application No: 09/939,403

Prior application Information: Examiner Richard H. Kim Group/Art Unit: 2882

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS** Customer Number**08791**or  Correspondence address below

|         |  |           |                |          |                |
|---------|--|-----------|----------------|----------|----------------|
| Name    | Blakely, Sokoloff, Taylor & Zafman LLP |           |                |          |                |
| Address | 12400 Wilshire Boulevard, 7th Floor    |           |                |          |                |
| City    | Los Angeles                            | State     | California     | Zip Code | 90025          |
| Country |  | Telephone | (714) 557-3800 | Fax      | (714) 557-3347 |

Name (Print/Type) William F. Alford Registration No. (Attorney/Agent) 37,764Signature  Date 03/09/04

U.S. PTO

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

**TOTAL AMOUNT OF PAYMENT**      **(\\$)**      **806.00**

**Complete if Known**

|                      |                |
|----------------------|----------------|
| Application Number   |                |
| Filing Date          | March 9, 2004  |
| First Named Inventor | Liew C. Chiu   |
| Examiner Name        | Richard H. Kim |
| Art Unit             | 2882           |
| Attorney Docket No.  | 3918P017X2D3C  |

**METHOD OF PAYMENT (check all that apply)**

Check     Credit card     Money Order     Other     None

Deposit Account

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below     Credit any overpayments

Charge any additional fee(s) or underpayment of fees as required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity        |          | Small Entity |          | Fee Description        | Fee Paid      |
|---------------------|----------|--------------|----------|------------------------|---------------|
| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) |                        |               |
| 1001                | 770      | 2001         | 385      | Utility filing fee     | <b>770.00</b> |
| 1002                | 340      | 2002         | 170      | Design filing fee      |               |
| 1003                | 530      | 2003         | 265      | Plant filing fee       |               |
| 1004                | 770      | 2004         | 385      | Reissue filing fee     |               |
| 1005                | 160      | 2005         | 80       | Provisional filing fee |               |
| <b>SUBTOTAL (1)</b> |          | <b>(\\$)</b> |          | <b>770.00</b>          |               |

**2. EXTRA CLAIM FEES**

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent Claims | 22 - 20* = 2 | 18.00          | \$36.00  |
| Multiple Dependent | 3 - 3* = 0   | 86.00          | \$0.00   |
|                    |              |                |          |

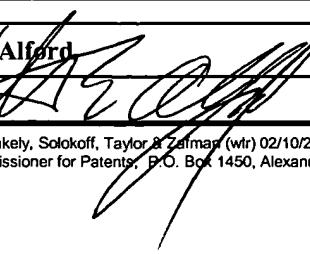
| Large Entity        |          | Small Entity |          | Fee Description   | Fee Paid |
|---------------------|----------|--------------|----------|---|----------|
| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) |   |          |
| 1202                | 18       | 2202         | 9        | Claims in excess of 20                                    |          |
| 1201                | 86       | 2201         | 43       | Independent claims in excess of 3                         |          |
| 1203                | 290      | 2203         | 145      | Multiple Dependent claim, if not paid                     |          |
| 1204                | 86       | 2204         | 43       | **Reissue independent claims over original patent         |          |
| 1205                | 18       | 2205         | 9        | **Reissue claims in excess of 20 and over original patent |          |
| <b>SUBTOTAL (2)</b> |          | <b>(\\$)</b> |          | <b>36.00</b>  |          |

\*\*or number previously paid, if greater. For Reissues, see below

**3. ADDITIONAL FEES**

| Large Entity                      | Small Entity | Fee Description | Fee Paid  |
|-----------------------------------|--------------|-----------------|---|
| Fee Code                          | Fee (\$)     | Fee Code        | Fee (\$)  |
| 1051                              | 130          | 2051            | 65 Surcharge - late filing fee or oath  |
| 1052                              | 50           | 2052            | 25 Surcharge - late provisional filing fee or cover sheet                     |
| 2053                              | 130          | 2053            | 130 Non-English specification   |
| 1812                              | 2,520        | 1812            | 2,520 For filing a request for ex parte reexamination                         |
| 1804                              | 920*         | 1804            | 920 * Requesting publication of SIR prior to Examiner action                  |
| 1805                              | 1,840*       | 1805            | 1,840 * Requesting publication of SIR after Examiner action                   |
| 1251                              | 110          | 2251            | 55 Extension for reply within first month                                     |
| 1252                              | 420          | 2252            | 210 Extension for reply within second month                                   |
| 1253                              | 950          | 2253            | 475 Extension for reply within third month                                    |
| 1254                              | 1,480        | 2254            | 740 Extension for reply within fourth month                                   |
| 1255                              | 1,210        | 2255            | 605 Extension for reply within fifth month                                    |
| 1404                              | 330          | 2401            | 165 Notice of Appeal  |
| 1402                              | 330          | 2402            | 165 Filing a brief in support of an appeal                                    |
| 1403                              | 290          | 2403            | 145 Request for oral hearing  |
| 1451                              | 1,510        | 2451            | 1,510 Petition to institute a public use proceeding                           |
| 1452                              | 110          | 2452            | 55 Petition to revive - unavoidable   |
| 1453                              | 1,330        | 2453            | 665 Petition to revive - unintentional  |
| 1501                              | 1,330        | 2501            | 665 Utility issue fee (or reissue)  |
| 1502                              | 480          | 2502            | 240 Design issue fee  |
| 1503                              | 640          | 2503            | 320 Plant issue fee   |
| 1460                              | 130          | 2460            | 130 Petitions to the Commissioner   |
| 1807                              | 50           | 1807            | 50 Prosessing fee under 37 CFR 1.17(q)  |
| 1806                              | 180          | 1806            | 180 Submission of Information Disclosure Stmt                                 |
| 8021                              | 40           | 8021            | 40 Recording each patent assignment per property (times number of properties) |
| 1809                              | 770          | 1809            | 385 Filing a submission after final rejection (37 CFR § 1.129(a))             |
| 1810                              | 770          | 2810            | 385 For each additional invention to be examined (37 CFR § 1.129(b))          |
| 1801                              | 770          | 2801            | 385 Request for Continued Examination (RCE)                                   |
| 1802                              | 900          | 1802            | 900 Request for expedited examination of a design application                 |
| Other fee (specify)               |              |                 |   |
| *Reduced by Basic Filing Fee Paid |              |                 |   |
| <b>SUBTOTAL (3)</b>               |              | <b>(\\$)</b>    |   |

**SUBTOTAL (3)** **(\\$)****SUBMITTED BY**

|                   |   |                                   |        |           |                |
|-------------------|---|-----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | William E. Alford   | Registration No. (Attorney/Agent) | 37,764 | Telephone | (714) 557-3800 |
| Signature         |  |                                   |        | Date      | 03/09/04       |

Based on PTO/SB/17 (10-03) as modified by Blakely, Sokoloff, Taylor & Zafman (wir) 02/10/2004.  
SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : Unassigned  
Applicant : Liew C. Chiu et al.  
Filed : 03/09/2004  
Title : FIBER OPTIC MODULES WITH A LEVER-ACTUATOR DE-LATCHING MECHANISM (As Amended)  
TC/A.U. : Unassigned  
Examiner : Unassigned  
Docket No. : 3918P017X2D3C  
Customer No. : 8791

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Which is a Continuation of:

Appl. No. : 10/330,462  
Applicant : Liew C. Chiu et al.  
Filed : 12/26/2002  
Title : DE-LATCHING MECHANISMS FOR FIBER OPTIC MODULES  
TC/A.U. : 2882  
Examiner : Richard H. Kim

**NOTIFICATION OF ERROR IN INVENTOR NAME**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

There is an error in the typed name of inventor Tat Ming Teo on the signed declaration filed herewith in this continuation patent application. This declaration was also filed in parent Application Nos. 10/330,462 and 09/939,403. The fifth inventor's name on the declaration is incorrectly typed as Tat T. Ming due to a transliteration error.

Tat Ming Teo is a Singapore inventor. In transliterating a foreign language name into an English language equivalent, Applicant's attorney erroneously transliterated the inventor's last name into a middle initial and a part of the given name into the family name.

Tat Ming Teo is a proper inventor and signed the declaration filed in this continuation patent application. He is included as a joint inventor. Thus, there is no need to add or delete an inventor under 37 CFR 1.48. "A request under 37 CFR 1.48 will not be required: ... (B) Where a typographical or transliteration error in the spelling of an inventor's name is discovered, the

Office should simply be notified of the error. A new oath or declaration is not required. Reference to the Notification will be made on the previously filed oath or declaration." [MPEP § 201.03; 8<sup>th</sup> Edition, Rev. 1, Feb. 2003, pages 200-4 to 200-5, see also (E)].

Procedurally in the US Patent and Trademark Office, "[w]hen the Office is notified of a typographical or transliteration error in the spelling of an inventor's name, ... the change should be noted in red ink in the left margin of the original oath or declaration. The notation should read 'See Paper No. \_\_\_\_ for inventorship changes.'" [MPEP § 605.04(g); Original 8<sup>th</sup> Edition, Aug. 2001, page 600-47].

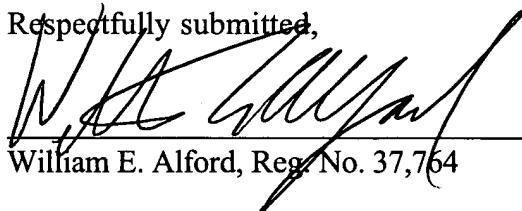
Should the inventor's name appear in error on the filing receipt, Applicant will make a request to correct the inventor's name thereon.

The U.S. Patent and Trademark Office is hereby authorized in the connection with the filing of this notice to charge Deposit Account 02-2666 should there be any fee due. A duplicate fee transmittal is enclosed for this purpose. If any petition is required for the filing of this notice, it is hereby so petitioned, and should any petition fee or additional fee be required in connection with the filing of this notice, please also charge it to Deposit Account 02-2666.

If there are any questions, Applicant's undersigned attorney may be reached by telephone at (714) 557-3800.

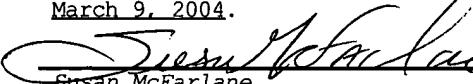
Dated: March 9, 2004

Respectfully submitted,

  
William E. Alford, Reg. No. 37,764

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Alexandria, VA 22313 on: March 9, 2004.

  
Susan McFarlane

3/9/04  
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : Unassigned  
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Examiner : Richard H. Kim

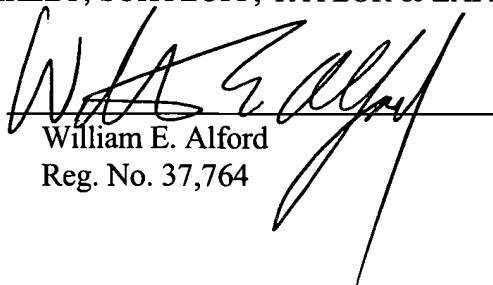
**Transmittal of Amended Specification for Scanning Purposes**

Commissioner for Patents  
PO Box 1450  
Alexandria VA 22313-1450

Dear Sir:

A clean copy of the specification, for the purpose of scanning for publication, is attached hereto which includes the amendments to the specification, and the amendment and cancellation of claims made by preliminary amendment.

Respectfully submitted,  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP



William E. Alford  
Reg. No. 37,764

Dated: March 9, 2004